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2874

TRANSMITTAL FORM <small>(to be used for all correspondence after initial filing)</small>		Application Number	10/010,786
		Filing Date	November 9, 2001
		First Named Inventor	Vlad Novotny
		Art Unit	2874
		Examiner Name	Valencia, Daniel E.
Total Number of Pages in This Submission		Attorney Docket Number	13441-002001[AO-777]

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to a Technology Center (TC)
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<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	Return Receipt Postcard date stamped 4/18/03 from the OIPE indicating all items were received. Examiner Valencia has requested a copy of the cited references from 4/15/03 which are also included.	

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Firm or Individual	Silicon Edge Law Group Arthur J. Behiel, Patent Attorney
Signature	
Date	August 22, 2003

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Date	08/22/03

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Vlad J. Novotny, Yee-Chung Fu and Zuo Wang
Assignee: Active Optical Networks, Inc.
Title: "Micro-Electro-Mechanical Variable Optical Attenuator"
Serial No.: 10/010,786 Filed: 11/09/2001
Examiner: Valencia, Daniel E. Tel: 703-305-4399
Docket No.: 13441-002001 Art Unit: 2874

Box DD
Commissioner For Patents
Washington, D.C. 20231

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §1.56, §1.97 and §1.98, Applicants bring the 31 documents listed on the enclosed form PTO-1449 to the Examiner's attention in the above-captioned application. Citation of the listed documents shall not be construed as:

1. an admission that the documents are necessarily prior art with respect to the instant application;
2. a representation that a search has been made; or
3. an admission that the information cited is, or is considered to be, material to patentability as defined in §1.56(b).

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4/15/03
Date

Laurie Moreno

Respectfully submitted,

Arthur J. Behiel
Attorney for Applicants
Reg. No. 39,603

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U.S. Department of Commerce, Patent and Trademark Office	Serial No.: 10/010,786
	Filing Date: 11/09/2001
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Inventors: Novotny, et al.
"MICRO-ELECTRO-MECHANICAL VARIABLE OPTICAL ATTENUATOR"	Group Art Unit: 2874
	Examiner Name: Valencia, Daniel E.
	Attorney Docket No.: 13441-002001

U.S. Patent Documents

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date, If Appropriate
	AA	6,301,403 B1	10/09/01	Heanue et al.	385	18	
	AB	6,253,001 B1	06/26/01	Storrs T. Hoen	385	17	
	AC	6,028,689	02/22/00	Michalicek et al.	359	224	
	AD	5,872,880	02/16/99	Ronald S. Maynard	385	88	
	AE	6,283,601 B1	09/04/01	Hagelin et al.	359	871	

Foreign Patent Documents

		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No
	AF							

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	AG	"ROUTING PACKETS WITH LIGHT," Daniel J. Blumenthal. Scientific American, pages 96-99. January 2001.
	AH	"Construction and performance of a 576x576 single-stage OXC," Herzel Laor. LEOS, San Francisco, California, 3 pages. November 8, 1999.
	AI	"Application of micro- and nanotechnologies for the fabrication of optical devices," Wolfgang Ehrfeld and Hans-Dieter Bauer. SPIE Vol. 3276, page 2 and pages 4-14.
	AJ	"PERFORMANCE OF A 576x576 OPTICAL CROSS CONNECT," Laor, et al. NFOEC, Chicago, Illinois, pages 1-5. September 26, 1999.
	AK	"Control and shape design of an electrically-damped comb drive for digital switches," Yijian Chen. Proceedings of SPIE Vol. 4178, 2000. Pages 387-394.

Examiner

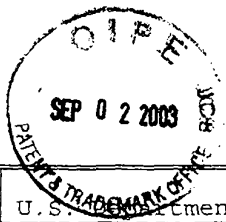
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U.S. Department of Commerce, Patent and Trademark Office	Serial No.: 10/010,786
	Filing Date: 11/09/2001
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Inventors: Novotny, et al.
"Micro-Electro-Mechanical Variable Optical Attenuator"	Group Art Unit: 2874
	Examiner Name: Valencia, Daniel E.
	Attorney Docket No.: 13441-002001

U.S. Patent Documents

*Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date, If Appropriate
AL						

Foreign Patent Documents

							Translation	
	Document Number	Date	Country	Class	Subclass	Yes	No	
AM								

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AN	"THE RISE OF OPTICAL SWITCHING," David J. Bishop et al. Scientific American, pages 88-94. January 2001.
AO	"A LARGE-DEFLECTION ELECTROSTATIC ACTUATOR FOR OPTICAL SWITCHING APPLICATIONS," John D. Grade, Hal Jerman and Thomas W. Kenny. Presented at Hilton Head, 2000. 4 pages.
AP	"FLIP CHIP CHALLENGES," Steve Bezuk, PH.D. General Manager, Applied Technology Development and Flip Chip Kyocera America, Inc. First published in HDI Magazine, February 2000. 6 pages.
AQ	"MEMS Feedback Control Using Through-Wafer Optical Device Monitoring," J.M. Dawson, et al. Proceedings of SPIE Vol. 4178, 2000. Pages 221-227.
AR	"A FLAT HIGH-FREQUENCY SCANNING MICROMIRROR," Robert A. Conant, et al. 2000 Solid-State Sensor & Act Workshop, Hilton Head, S.C., June 4-8, 2000.
AS	"The Surface/Bulk Micromachining (SBM) Process: A New Method for Fabricating Released MEMS in Single Crystal Silicon," Sangwoo Lee, et al. Journal of Microelectromechanical Systems, Vol. 8, No. 4, December 1999. Pages 409-416.
AT	"MEMS actuators for silicon micro-optical elements," Norman C. Tien and Daniel T. McCormick. Proceedings of SPIE Vol. 4178, 2000. 256-267.

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Sheet 3 of 4

U.S. Department of Commerce, Patent and Trademark Office	Serial No.: 10/010,786
	Filing Date: 11/09/2001
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Inventors: Novotny, et al.
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	Examiner Name: Valencia, Daniel E.
	Attorney Docket No.: 13441-002001

U.S. Patent Documents

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date, If Appropriate
	AU	5,724,123	03/03/98	Tanaka	356	5.01	
	AV	6,320,993B1	11/20/01	Laor	385	16	
	AW	6,252,466 B1	06/26/01	J. Patrick Kawamura	331	25	
	AX	6,097,859	08/01/00	Solgaard et al.	385	17	

Foreign Patent Documents

							Translation	
		Document Number	Date	Country	Class	Subclass	Yes	No
	AY							

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

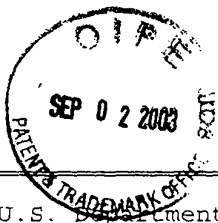
AZ	"Lightweight, Optically Flat Micromirrors for Fast Beam Steering," Jocelyn T. Nee, et al. Presented at IEEE/LEOS Optical MEMS 2000 Conference, August 21-4, 2000, Kauai, Hawaii, USA. 2 pages.
BA	"Optical MEMS for Optical Communications - Trends and Developments," Veljko Milanovic. Adriatic Research Institute. Pages 2-6. Downloaded December 20, 2001.
BB	"Silicon micromachines for lightwave networks: the little machines that will make it big," by David Bishop. December 2000. SPIE's Optics & Information Systems. 8 pages.
BC	Topical Review "The future of MEMS in telecommunications networks," James A. Walker. J. Micromech, Microeng.10(2000)R1-R7. Printed in the UK.
BD	D.J. Bishop Presentation, "Silicon Micromachines for Lightwave Networks: Can Little Machines Make it Big?" Lucent Technologies, Bell Labs Innovations. 83 pages. February, 1999.

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U.S. Department of Commerce, Patent and Trademark Office	Serial No.: 10/010,786
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	Examiner Name: Valencia, Daniel E.
	Attorney Docket No.: 13441-002001

U.S. Patent Documents

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date, If Appropriate
	BE	6,075,239	06/13/00	Aksyuk et al.	250	229	
	BF	6,246,826 B1	06/12/01	O'Keefe et al.	385	140	
	BG	6,173,105 B1	01/09/01	Aksyuk et al.	385	140	
	BH						

Foreign Patent Documents

		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No
	BI							

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	BJ	"Fiber coupling (1 x 2 beam splitter)." Development Editor: Marleen Madou; Publisher: Ron Powers; Project Editor: Paul Gottehrer; and Cover Design: Denise Craig. 1997 by CRC Press LLC. 4 pages.
	BK	United States Patent Application Publication, "Latching Apparatus for a MEMS Optical Switch," by Zhang et al. Pub. No.: US 2002/0172452 A1, Pub. Date: November 21, 2002. Appl. No.: 09/860,300, filed May 18, 2001.
	BL	
	BM	
	BN	

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Inventor: Vlad Novotny et al.
Title: "MICRO-ELECTRO-MECHANICAL VARIABLE OPTICAL ATTUNATOR"
Serial No.: 10/010,786
Filing Date: November 9, 2001
Docket No.: 13441-002001

Enclosed are:

- 1 Page PTO/SB/21 Transmittal Form
- 1 Page PTO/SB/17 Fee Transmittal for FY 2003
- 1 Page PTO/SB/06 Patent Application Fee Determination Record
- 43 Pages Amendment in Response to First Office Action
- 1 Page PTO/SB/22 Petition for Extension of Time Under 37 CFR 1.136 (a)
- 1 Page Supplemental Information Disclosure
- 4 Pages PTO-1449 citing 31 documents
- 1 Copy of each document cited on PTO-1449
- X Check number 1464, in the amount of \$670.00
- X This Return Receipt Postcard



Tuesday, April 15, 2003



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